Recruitment, retention, and development of school principals

Judith D. Chapman

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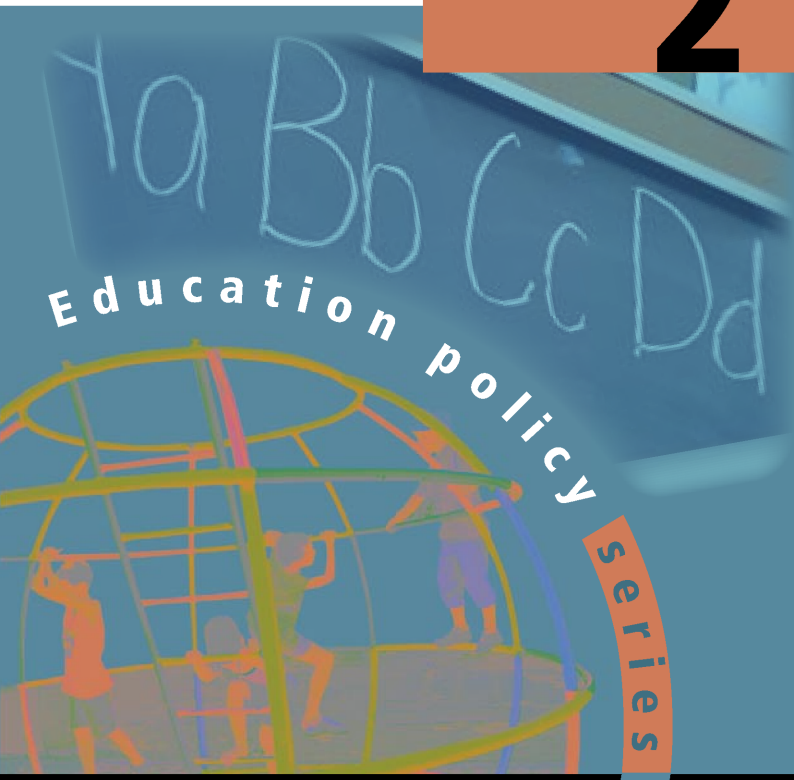

Education policy series

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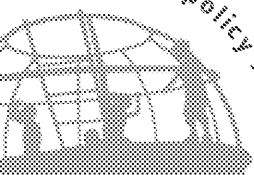

2

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Preface
Education policy booklet series

The International Academy of Education and the International Institute for Educational Planning are jointly publishing the Education Policy Booklet Series. The purpose of the series is to summarize what is known, based on research, about selected policy issues in the field of education.

The series was designed for rapid consultation "on the run" by busy senior decision-makers in Ministries of Education. These people rarely have time to read lengthy research reports, to attend conferences and seminars, or to become engaged in extended scholarly debates with educational policy research specialists.

The booklets have been (a) focused on policy topics that the Academy considers to be of high priority across many Ministries of Education – in both developed and developing countries, (b) structured for clarity – containing an introductory overview, a research-based discussion of around ten key issues considered to be critical to the topic of the booklet, and references that provide supporting evidence and further reading related to the discussion of issues, (c) restricted in length – requiring around 30-45 minutes of reading time; and (d) sized to fit easily into a jacket pocket – providing opportunities for readily accessible consultation inside or outside the office.

The authors of the series were selected by the International Academy of Education because of their expertise concerning the booklet topics, and also because of their recognized ability to communicate complex research findings in a manner that can be readily understood and used for policy purposes.

The booklets will appear first in English, and shortly afterwards in French and Spanish. Plans are being made for translations into other languages.

Four booklets will be published each year and made freely available for download from the web site of the International Institute for Educational Planning. A limited printed edition will also be prepared shortly after electronic publication.

This booklet

The recruitment, retention, and development of school principals are matters of great importance for all school systems because effective educational leadership is absolutely vital to bringing about improvements and advances in all those activities, institutions, and processes that foster the provision of education and student learning. Governments, school system authorities, school-based personnel, universities, leadership institutes, and professional associations are therefore increasingly turning their attention to the development of policies and strategies to address concerns in this area.

The aim of this booklet is to present, in a concise way, what is known about the recruitment, retention, and development of school principals – and in so doing to seek to inform the development of good policy and practice. The booklet is based on an extensive review of relevant literature and interviews with key individuals in international organisations and national settings.

In putting forward alternative strategies for the reader's consideration, it is important to acknowledge that historical, political, cultural, and organisational contexts will all impact significantly on the role of the principal and the relative success of policies and practices designed to improve principal recruitment, retention, and development. In addition, there is a need to recognise that policy makers, system officials, school-based personnel, and those involved in the provision of leadership training, need to take account of a number of possible tensions between key factors such as: political, bureaucratic, and professionally-based approaches to recruitment, retention, and development; the conception of the principal as pedagogical, administrative, and community leader; the authority of the principal and the autonomy and professionalism of teaching staff; the values and culture of the school; and the social and cultural environment within which the school is located.

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Table of contents

1. Quality schooling and lifelong professional learning 1

2. Attracting and retaining principals 4

3. Reconceptualizing leadership roles and responsibilities 7

4. Setting standards and assuring quality 11

5. Learning for leadership 15

6. Creating future leadership capacity 19

7. Enhancing capabilities of newly appointed principals 23

8. Professional renewal of experienced principals 27

References 31

1 Quality schooling and lifelong professional learning

Quality schools require quality leadership. Quality leadership cannot be assumed or acquired without a coherent, integrated, consequential, and systematic approach to leadership recruitment, retention, and development.

The context and concern

Educational leadership and questions concerning the optimum approaches for effective recruitment, retention, and development of principals have become matters to which increasing concern has been devoted in education systems internationally. In some countries national inquiries have been set up to analyse the dimensions of what is seen as a problem in the provision of educational leadership. National leadership institutes have been established to identify new initiatives in educational leadership and to provide overall coherence and direction in the provision of quality leadership for schools and effective lifelong professional learning for school leaders. Resources have been allocated to support new leadership programs. National approaches to setting standards, determining certification requirements and evaluating impacts have come under consideration and review. Individual professionals are increasingly recognising that the need to ensure lifelong professional learning, career planning, and the provision of quality schooling is a responsibility that has to be accepted by them, as well as being shared with and between all educational institutions and agencies.

Research

Research has shown that in many countries:

- It is difficult to attract qualified candidates to the principalship,
- preparatory training schemes for the principalship are frequently inadequate,
- professional development and renewal is often episodic and uncoordinated,
- roadblocks to career advancement and satisfaction have increased, and
- many committed educators are leaving the profession at an earlier age than would have previously been expected.

  (Petzko et al., 2002).

In other settings, evidence suggests (Walker et al., 2003) that, although there is no shortage of potential principals, there is both concern about the quality of leadership and about the question of whether the structures and cultures within which leaders work, and through which they are trained, are adequate. Politics, formal and informal structures, enduring cultural values, and norms have all been variously identified and defined as impacting on the success of any new policies or strategies to improve principal recruitment, retention, and development.

Whilst acknowledging the diversity in contexts and settings, we should at the same time note, however, that there has been a number of studies, of a cross national and cross cultural kind, conducted over recent years on these matters. These appear to point to some common trends that might usefully inform the development of policy and practice on the issues of concern, across countries. These trends include:

- The acknowledgment that leadership is not confined to principals but occurs at many points in the school,
- the likelihood of greater integration in leadership preparation at different stages of professional careers,

- the use of a wider range of learning strategies and technologies,
- the provision of development programs for leadership teams,
- the use of experienced principals as facilitators of the learning of others,
- the recognition that schools should be the ultimate learning organizations and that they should draw upon theory and research to improve their practices, and
- the need for leadership centres to "sponsor" research in order to identify and disseminate good practice.

(Bush & Jackson, 2002)

Implications for policy and practice

There is increasing emphasis on the need for coherent, integrated, consequential, and systematic approaches to leadership recruitment, retention, and development. Underpinning such approaches must be the co-operative support, direction, and commitment of all interested constituencies, requiring negotiations among school principals, representatives of professional associations, employing authorities, government, universities, and members of the broader community. Of particular importance is the need to contextualize approaches to ensure relevance and to customize approaches to ensure responsiveness to particular needs.

Sources

Bush & Jackson (2002); Cheng Yin Cheong (2002); Daresh & Male (2001); Carron & Ta Ngoc Chau (1996); Huber (2000); Jackson & Kelley (2002); Johansson (2001); Mahesawari & Blaton (2004); Memon (2000); Petzko, Clark, et al., (2002); Peterson (2002); Tirozzi (2001); United Kingdom Department of Education and Skills Headship Programs (2003); Walker, Stott & Cheng (2003).

2 Attracting and retaining principals

A deliberate strategy, instituted at school, local, and national levels, is needed to address the demand for and the supply of an adequate cadre of principals.

The context and the concern

Schools and school systems require a cadre of qualified and experienced educators to provide them with a number of suitably qualified and trained aspirants to apply for and assume positions of leadership in schools. Unfortunately, in many countries the numbers of applicants for principals' positions have been declining and there has been a high turnover among incumbent principals. Both of these factors have been identified as constituting problems for the provision and delivery of effective schooling.

These problems are costly for schools and school systems in monetary terms. Moreover the loss of leadership experience, expertise, knowledge, and wisdom has the potential to impact adversely on school quality and student learning. Of particular concern in some settings is the difficulty of attracting and retaining women and members of particular ethnic and minority groups, and the difficulty of filling positions in rural, remote, and disadvantaged areas. For these reasons many are claiming that the education profession needs to move towards an approach to career planning, that is systematic, integrated, and interrelated.

Research

Some research studies have helpfully identified a range of causes of, and reasons for, the problem in principal supply and principal turnover. Such factors include:

- Conditions in the workplace,
- work load and intensification,
- salary levels,
- increased demand for accountability combined with declining authority to act,
- expanded and restructured work roles,
- changing conceptions of professional identity, and
- the impact of the demands of principal work on individual lives and personal responsibilities.

  (Gronn & Rawlings-Sinai, 2003; Zeitour & Newton, 2002)

The development of effective policies and practices to address these problems is a complex matter. In studies of turnover among incumbent principals it has emerged that a high proportion of the factors ranking as high level dissatisfiers for principals related to policy decisions that were taken by government and which were poorly implemented by school boards. Approaches to aspects of the processes of certification and licensure of school leaders, especially those that are deemed to be cumbersome, expensive, and time consuming, have been found to be problematic (Williams, 2003). Some approaches to principal selection have been found to discourage people who might otherwise apply (Department of Education, Victoria, Australia, 2003).

Implications for policy and practice

There needs to be a co-ordinated, strategic approach within school systems and schools for attracting and retaining principals and for succession planning for educational leadership in the future. Responsibility rests at many

levels. Consideration of principal recruitment and retention can only be well thought-out in the broader context of recruitment, retention, and development in the teaching service as a whole.

Policies and strategies designed to address the demand for and supply of an adequate cadre of principals must guard against the negative effects of dysfunctional factors affecting the number of applicants to leadership positions, and instead promote those incentives that add value to leaders' professional experiences, work conditions and personal concerns. Consideration needs to be given to strategies such as: reconceptualizing the role of the principal; reviewing workplace conditions; and providing frameworks of mentoring and support. The process of principal selection and certification must be such that able candidates are confident about the process and not discouraged by aspects of the process itself. Developmental programs and activities for professional renewal need to be part of a lifelong professional learning program and contribute to the development of a portfolio of leadership skills and competencies. Approaches to leadership learning need to blend a number of approaches and experiences and acknowledge that some of the most effective mentors and facilitators of leadership learning are principals themselves, sharing good practice and experience based wisdom.

Sources

Bloom, Castagna & Warren (2003); Draper & McMichael (2003); Department of Education and Training, Victoria, Australia (2003); DiPaola & Tschannen-Moran (2003); Gronn & Rawlings-Sanaei. (2003); Norton (2003); Pounder, Galvin & Shepherd (2003); O'Laughlin (2001); Tirozzi (2001); Walker, Stott, & Cheng (2003); Williams (2003); Winter & Morgenthal (2002); Zeitoun & Newton, (2002); Zellner, et al., (2002).

3 Reconceptualizing

Acknowledgment of the highly complex, multi-layered, and multi-skilled nature of effective principalship and the impact of the demanding nature of the role on recruitment, retention, and development requires that consideration be given to the reconceptualization of the role of principal and the re-design of positions of leadership across the school.

The context and the concern

In highly centralised systems of education the role of the principal has tended to focus on the interpretation of national/state rules and regulations, and the exercise of delegated responsibility in functional areas such as administration, planning, finance, student welfare, and reporting. In these contexts less emphasis has been placed on the principal's role as decision-maker and as educational leader in the enhancement of school improvement and quality learning. In centralised systems, bureaucratic and hierarchical approaches to principal recruitment, retention and development have tended to prevail as part of a system-wide approach to educational planning and management.

In many countries the trend towards the implementation of changed arrangements along the centralisation-decentralisation continuum and the effect on schools of more market-orientated approaches to educational

provision have had an impact on the role of the principal. The movement towards greater decentralisation, school site management, and privatisation has shifted responsibility for policy making and decision-making to state, municipal, and local authorities; to parent, church, and community groups; and to education professionals at the school site. This has resulted in an intensification of the role and responsibilities of principals, a diversification of decision making, and an expansion in the range of community-based agencies with the responsibility for educational provision and the management and organisation of schooling.

Research

Over many years research has highlighted the increasingly complex and multifaceted nature of the roles and responsibilities of the principal. Recent educational reforms have added to the complexity of the principalship and have demanded that principals need new kinds of knowledge, skills, and attitudes. The change and intensification of the principal's role has not always been accompanied by provision of the necessary training and support. This has impacted on the work satisfaction of principals and had an effect on recruitment, retention, and development. Studies of principal turnover (Norton, 2003; Di Paola et al., 2003) have found that there is a need to adopt new approaches to conceptualizing the role of principal and alternative strategies for redesigning and restructuring positions of leadership across the school.

A number of possible models for conceptualising the role of principals have been identified: the co-principal model; the principal/business manager model; the multi-principal model; the principal/associate principal model; the principal teacher/principal administrator model; and the principal/educational specialist model (Zeitoun & Newton, 2002).

At the same time as attention needs to be paid to the diverse virtues and values of the various models of the principalship, attention should be paid to the job design

requirements of other leadership roles in the school, especially those of assistant and deputy principals. Many assistant and deputy principals are moving into the principalship after serving a relatively short time in these roles. There is therefore, a need to be more deliberate in designing these positions to serve as preparatory ground or apprenticeships for principalship (Bloom & Krovetz, 2001). Studies of the role of assistant or deputy principal (Garrett & McGeachie, 1999), which reveal the potential that exists in these positions for preparation for the principalship, focus attention on the need for deputies to have:

- A clear definition of a role with full responsibility for major areas of school life,
- real opportunities to undertake such a senior leadership role,
- a personal program for training and development, and
- all underpinned by a pro-active approach to their own professional development.

Implications for policy and practice

Realistic restructuring of the principal's role and of leadership positions across the school is required. To achieve this goal there is a need to review the ways in which the conceptualisation of leadership roles and the allocation of responsibilities and tasks meet both the needs of the school and the various personal and professional stages of individual's careers and lives. Consideration should also be given to features of leadership roles in order that we might be able to identify ways in which the principalship might be reconceived and redesigned to attract the interest of and applications from members of under-represented groups.

There is a need to expand, support, recognize, and reward leadership exercised by all members of staff at all levels of the schools' operation. In particular, it is time to look anew at the leadership team, especially the roles of assistant and deputy principals and the ways in which their roles

could be redesigned to promote a sense of enthusiasm and satisfaction for career advancement in school leadership. Most importantly the time has come to consider the various models of the principalship and accept that it is no longer a case of "one size fits all".

Sources

Ali (1998); Bloom & Krovetz (2001); Bush & Chew (1999); Carron & De Grauwe (1997); De Grauwe (2001); Di Paola & Tschannen-Moran (2003); Garrett & Mc Geachie (1999); Johansson (2001); Maheswari & Blaton (2004); Murphy (2001); Perera (1997); Zeitoun & Newton (2002).

4 Setting standards

Quality assurance is a function of the continuing review of all parts of the framework of standards and accountability that will provide the criteria against which leaders can be identified, assessed, and certified.

The context and the concern

The most controversial area associated with principal recruitment, retention, and development is that concerned with the setting of standards for educational leadership, the selection of candidates for leadership programs, and the licensure/certification of leaders. Only a few countries have made significant advances in the identification of a set of commonly agreed national standards for educational leadership. Even fewer countries have used national leadership standards as a basis for the design and accreditation of leadership programs for school leaders and for the development and implementation of assessment tools for the licensure/certification of beginning principals and the re-licensure of practicing principals. Differences in approach reflect deeply held differences in philosophy regarding professional learning and career planning. There are those who argue that the presence of standards and mandatory requirements creates hurdles that function as disincentives for people who might otherwise consider applying for leadership positions. Others argue that the determination and assessment of standards and certification is necessary in order to enhance professionalism and ensure quality.

Research

In a number of countries attention is being focussed on the development of leadership standards. The most successful attempts involve the engagement of a wide range of constituencies in consultations and surveys to arrive at shared understandings and agreement. One such effort (United Kingdom Department of Education and Skills -National Standards for Head-teachers, 2004) identifies standards that embody three key principles regarding the work of school leaders: the work of school leaders should be learner centred, focused on leadership, and professionally oriented. These principles underpin the knowledge requirements, personal qualities, and actions of leaders in six areas: creating the future; leading, learning, and teaching; developing self and working with others; managing the organisation; securing accountability; and strengthening community through collaboration. These standards offer a framework to guide professional learning and a basis for the development of leadership programs.

The concern for quality leadership has also drawn attention to selection and admission practices for entry to leadership programs. A study (Browne-Ferrigno & Soho, 2002) of the views of faculty members of university leadership programs found the criteria which they judged to be least indicative of the quality of candidates for programs are those used extensively as admission standards for leadership programs. The findings of related research suggest that standards for admission to leadership programs need to be reviewed and alternatives to traditional selection criteria and procedures need to be put in place. Alternative approaches to admission to leadership programs have been identified. These include:

- Presentation of an education platform and a career-goal statement to judge an applicant's visioning skill, ethical stance, and writing ability;
- previous experience as an instructional or collaborative leader presented through resumes; and

- group problem-solving and assessment activities to provide evidence of candidates' skills in communication, analysis, and collaboration.

Certification and licensure is another area under review in response to the concern for standards and quality assurance. In the past many countries have not required certification of its leaders but are now seriously considering its introduction. It should be pointed out however that in some settings where certification and licensure have been in place for many years, the assumptions that underpin traditional approaches to certification and licensure are currently being contested (Hess, 2003). Critics argue that it is erroneous to argue that:

- Only former teachers are capable of leadership of a school,
- preparation through licensure requirements is so critical that an uncertified applicant cannot fulfil the requirements of a leadership position, and
- licensure provides quality control, makes educational leadership more 'professional', and thereby improves its standing and rewards.

Notwithstanding these concerns, there are others who argue (Lashway, 2003) that there is a need not only for certification and licensure at the beginning of a person's career but also for advanced certification beyond the requirements of licensure, claiming that, if standards and targets were set to guide the development of principals, the status of the profession would be elevated.

Implications for policy and practice

The concern regarding standards and the assurance of quality in all aspects of schooling has implications for the recruitment, retention, and development of school leaders. In the climate of accountability that characterises educational provision in many countries there is increasing support for the position that an indispensable condition of quality assurance is the continuing engage-

ment of all constituents of the education community in the ongoing determination and evaluation of leadership standards. Leadership standards, it is argued, provide a more informed and accountable basis for the selection of principals, the development of leadership programs, and the implementation of assessment tools for licensure of beginning principals and the re-licensure of practicing principals.

Sources

Browne-Ferrigno & Shoho (2002); Hess (2003); Shipman & Murphy (2001); United Kingdom Department of Education and Skills- National Standards for Headteachers (2004); United Kingdom Department for Education and Skills- Mandatory Requirements for First-time Headteachers (2003).

5 Learning for leadership

Vital to leadership learning is the interplay of a number of elements: study of the relevant theoretical disciplines and the substantive domains of professional knowledge and competence; critically reflective practice; engagement in field based learning activities and peer-supported networks. A co-operative approach among learning providers is required to enable coverage of all elements.

The context and the concern

Changes in the principalship have been occurring as a result of large-scale reforms resulting from the general determination to ensure the provision of quality schooling. Changes in approaches to leadership learning have been slower to change. There is widespread agreement that there is a need for a fundamental rethinking of the content, structure, delivery, and assessment of leadership learning. This involves the development of a framework for leadership learning to ensure that formal university based programs, employer sponsored programs, and programs offered by leadership institutes and other providers of leadership development, are complementary. There is a need for political will and the existence of incentives and rewards to bring about this cooperation and collaboration.

Research

In a study of the nature of transformations that occur as teachers learn to become school principals (Browne-Ferrigno, 2003) it was found that:

- Teachers' experiences in informal and formal leadership, both prior to and while participating in a program of leadership learning, help mould their conception of the principalship;
- leadership programs alone do not help students to conceptualise the work of principals or to begin the necessary socialization process;
- field-based learning guided by leadership practitioners begins initial socialization, increases role clarification and technical expertise, and develops skills and professional behaviours;
- some teachers struggle to let go of their teacher self-perceptions and adopt an administrator identity, which is essential for successful principal-making; and
- teachers with clearly defined post-program goals showed the most evidence of sustained engagement in their learning and enthusiasm about their futures.

Research studies have been designed to identify characteristics of effective leadership programs. Some of the characteristics of effective programs include (Peterson, 2002); (Browne-Ferrigno, 2003):

- A clear sense of mission and purpose;
- curriculum coherence and alignment, including integrated sets of topics based on learning objectives;
- linkages between university programs, certification program curricula, and professional development;
- instructional strategies related to the nature of the material taught and the learner needs, including: experiential learning, new information technologies, small group work, simulation, videotapes, role-playing, and case study;

- length and time structure: multi all-day and partial day sessions and multiple-session meetings over the year;
- a distinctive program culture and symbols;
- linkage to the mission, beliefs, and values of relevant employing authorities; and
- learning strategies that motivate through thinking, reflection, and analysis, with a strong component of coaching and feedback.

There is less research on the ways in which partnerships can be forged among the various learning providers. However, one study (Jackson & Kelley, 2002), which identifies the common characteristics of successful collaborative programs, points to the importance of:

- A clear vision to drive decisions and provide opportunities for coherence,
- a well-defined curriculum focus reflecting agreement on the relevant knowledge base, and
- a visioning and revisioning process to produce systematic alignment of program structures, strategies, and processes.

There are a number of important new initiatives in collaboration among providers of leadership learning. Some initiatives have involved public/private partnerships. In one such program, New Leaders for New Schools (Richard, 2001), a program has been designed to provide high-quality well trained principals for urban schools. This program brings together public and private investors to create a new kind of educational non-profit organisation. Another important step forward is the provision of international collaborative learning programs for leaders.

Implications for policy and practice

Leadership learning needs to be part of a coherent framework incorporating both the needs of individuals, the expectations of employing authorities, and the reference to

and application of the domain-specific body of knowledge appropriate to learning in the field of leadership and management. Learning should be part of a continuous process involving both formal study and field based learning. The important connections between the self-identity and career goals of individuals need to be taken into consideration when planners are designing leadership learning opportunities. Each of the partners with a stake in leadership learning has a part to play in its development.

Sources

Browne-Ferrigno & Shoho (2002); Daresh (1997); Gray (2001); Goddard (1998); Grogan & Andrews (2002); Jackson & Kelley (2002); Murphy (2001); Peterson (2002); Zellner & Erlandson (1997)

6 Creating future leadership capacity

Candidates for leadership may be self selected, nominated, or marked out by more senior members of the profession, but once identified they must have available to them multiple learning experiences and opportunities that will assist them to develop their leadership capacities.

The context and the concern

The recruitment of potential educational leaders and the process of leadership learning must be regarded as continuous and progressive. The process begins with the identification and development of individuals with leadership capacity. Recruitment and development are all the more important in an environment where there is a shortage of principals and in rural or disadvantaged areas where it is often difficult to attract good candidates to apply for principal positions. There are significant differences among countries in regard to approaches to the identification of people with leadership capacity and the provision of pre-service development. In a small number of countries it is believed that incoming principals require the completion of a university course in leadership and administration and certification and licensure to become practicing principals. In many other countries people believe that pre-service training programs at university are not necessary and that adequate preparation for leadership is on-the-job experience.

Research

Research has highlighted a variety of approaches to identifying and developing leadership capacity:

a. Assessment centres

An assessment centre is a diagnostic tool for determining the presence and strength of leadership skills. Participants engage in an integrated system of realistic school-based simulations designed to generate responses to problem-situations and behaviours similar to those required for success in principal positions. Assessors are selected from a pool of talented individuals who have school leadership experience and training in the assessment process. It has been found that the assessment centre is a valuable tool for identifying leadership potential (NASSP, 2002).

b. Profiling instruments

Profiling instruments have been used to identify leadership talent and potential in mid-career teachers with a view to helping them fast track their route to the principalship and accelerate their participation in national leadership programs. Research has shown that this can be an effective approach to developing an accelerated route to headship and that the "potential" group are likely to function effectively as headteachers once relevant contextual experience and specific job-related competencies complement their profile of talent (Tomlinson & Holmes, 2001).

c. Principal scouts

Research has shown that principals themselves can serve as "Scouts" for identifying and encouraging leadership potential. One successful approach (Tooms, 2001) saw the principal: host sessions that explain the details of school leadership positions; offer half-day or all-day substitutes so that interested candidates can shadow the current principal or assistant principal; set aside time each month to meet with interested teachers and share anecdotes and discussion based on real problems; and start assigning pairs or small groups of aspirants to special assignments and targeted learning experiences

d. Internship

Internships, often up to a year in duration, have been found to be among the most effective strategies for developing leadership capacity. Steps in the design of an effective internship have been found (Gray, 2001) to include:

- Effective integration of the intern into the school and the leadership team,
- the development of a shared vision for the internship experience,
- gradually increasing the responsibilities of the intern,
- providing time for continuous evaluation, and
- availability of an external supervisor when problems arise.

Implications for policy and practice

In the past education systems have been heavily reliant on a process of self selection in the identification of future leaders. Now a more systematic and collaborative approach, involving employing authorities, schools, universities, leadership centres, and individuals is required. Strategies might include the use of generic calls for those interested in leadership, the use of more personal and direct approaches from people in more senior positions, and the use of Profiling Instruments and Assessment Centres to identify those with interest and capacity. Future principals will also be more easily recruited when they have had positive experiences of opportunities to lead and a satisfactory experience of working collaboratively with others. A range of practices is available for the development of those with future leadership capacity. These include: mentoring and coaching; internship; shadowing; education platform development; special assignments and targeted learning experiences; formal university award bearing study; and engagement in programs organised by learning institutes and academies. A carefully conceived and comprehensive program of leadership learning would involve the incorporation of many of these strategies in a portfolio of leadership experiences shaped in accordance with a personal learning development plan.

Sources

Archer (2003); Beebe, et al. (2002); Bloom & Krovetz (2001); Bloom, Castagna & Warren (2003); Crow & Southworth (2003); Daresh (1997); Daresh (2001); Daresh & Male (2001); Erickson (2001); Hix, Wall & Frieler (2003); Lashway (2003); Kirkpatrick (2000); NASSP (2002); Petzko, et al. (2002); Richard (2001); Stricherz (2001); Su, Zhixin, Gamage & Mininberg (2003); Tooms (2001); Tracy & Weaver (2000); Tomlinson & Holmes (2001); Walker, et al. (1993).

7 Enhancing capabilities of newly appointed leaders

Newly appointed leaders require engagement in a systematic program of learning, and induction based on an analysis of a person's previous experiences and capabilities integrated with the needs of the particular school, system, and context in which they serve.

The context and the concern

In some countries newly appointed principals receive little induction or in-service training. A one or two-day induction program at the beginning of the school year, with some in-servicing regarding the employing authorities' agenda for the year, is considered sufficient. In other settings new principals have a formal, structured program available to them as one component of a multi-faceted approach to enhancing their leadership capabilities and building leadership capacity in schools. Entry year programs might include the development of mentoring relationships by joining early career principals with experienced principals; on line discussions; collaborative inquiry, participation in networked learning communities; coaching; inter-visitations; and engagement in seminars and other learning activities relevant to their own needs and the needs of their school and employing authority.

Research

Research has highlighted a variety of approaches to enhancing the leadership capabilities of newly appointed leaders. These include:

a. Induction programs

One national review of Induction Programs (U.K. National College of School Leadership – Headteachers Leadership and Management Program Review, 2003) has identified the needs of newly appointed school leaders and has pointed to the need for Induction Programs to:

- Help put into practice the knowledge, skills, and understanding gained from prior experience;
- assist in forming a strategic view of the development needs of the school;
- provide support in developing constructive relationships with all stakeholders in school; and
- provide access to different kinds of learning opportunities.

b. Mentoring programs

Mentoring has been found to be a most valuable strategy for providing newly appointed school leaders with support. In a study of a structured Mentoring Program in the South East Asian setting (Walker et al., 1993) it was found that:

- The mentoring relationship seems best initiated in a relatively informal environment, before the protégés begin their attachment;
- it is important for protégés to be aware of their mentors' expectations at the beginning of the relationship;
- the relationship goes through a number of stages: an initial period of definition (formal and cautious stages), intensive interaction (sharing), and a dissolution of the relationship where new roles may be defined (open and beyond); and

- structured program organisers and planners need to take care when matching mentors and protégés so that the chances of the relationship being a success are maximised.

Although mentoring is a most effective process for professional development, the personal dimension makes it very resource-intensive. This problem has been addressed by the National Association of Secondary School Principals (NASSP) which has launched an online Virtual Mentor Program. The program is designed to provide principals with direct access to recognised school leader practitioners for advice, guidance, or ideas.

c. Leadership coaching

A somewhat different approach to mentoring is Leadership Coaching (Bloom et al., 2003). One program called CLASS ("Coaching Leaders to Attain Student Success") distinguishes between mentoring (carried out by senior insiders, in job-alike positions) and coaching (by outsiders who, while professional experts, do leadership coaching as their primary work). A "coach" brings a different perspective to the relationship between the "coachee" and his/her context. The coach moves between instructional and facilitative coaching strategies based upon assessment of the coachee's needs and in pursuit of agreed goals. The coach's fundamental commitment is to student success. The program specifically addresses principals' needs, designed around the challenges that principals face.

Implications for policy and practice

Leading the school assumes an approach in which leaders model: a preparedness to face and manage the challenges of change, a capacity to exercise critical and creative intelligence in the solving of problems, and a belief in the complex, shared, and incremental process of learning to learn – and to lead. Newly appointed principals are in special need of assistance when taking on responsibility for a school. Integrated and articulated strategies of professional support, guidance, and development must be

available to new principals. These might include mentoring; inter-school and district visitations; peer pairings; network interactions; face to face and online sharing of good practice; and access to modular programs to address specific skills in areas of leadership responsibility relevant to the particular setting in which principals are located.

Sources

Barry & Kaneko (2002); Beebe, et al., (2002); Bloom, Castagna & Warren (2003); Bush & Chew (1999); Howley, Chadwick, & Howley (2002); McCampbell (2002); Malone (2001); Martin & Robertson (2003) Onick (2003); UK National College for School Leadership (2003).

8 Professional renewal of experienced principals

To retain effective leaders in their key positions in educational institutions, it is vital that their morale, professional commitment, and sense of professional value and personal worth is maintained, and their creativity and enthusiasm is promoted.

The context and the concern

Leaders are subject to the effects of a complex array of factors that have the potential to impact negatively on their performance and continuing survival in the role. Principals must be given support to face the challenges of their responsibilities and to renew and reinvigorate their professional performance. Experienced leaders should be able to look to system support, professional networks, and leadership institutes for the provision of renewal experiences and activities. These will include: sabbatical leaves; job sharing; professionally expanding work engagements; and the utilisation and affirmation of their wisdom and competencies in the mentoring and coaching of the next generation of leaders.

Research

a. Retaining experienced principals

In a study of the reasons (other than retirement) why principals leave their jobs Hertling (2001) identified a number of strategies that might be effective in retaining people in the principalship. These included: job sharing

for principals; reinvention of the role of principal; and improving and increasing opportunities for professional development. Employing authorities can assist in these processes by: offering financial support for sabbaticals; creating a family-friendly environment to accommodate principals' personal lives; reviewing the salary schedule in order to find a way to reward principals; determining flexible attendance requirements, and expectations at school functions; and redesigning the organisational structure of the job.

b. Provision of a comprehensive program of professional development

In studies of the professional development needs of experienced principals attention has been drawn to the need for experienced principals to have available to them a range of learning opportunities from which selection can be made in accordance with specific needs. These learning experiences may usefully involve: study groups; advanced seminars; reading and discussion groups; presentations by current thinkers or expert practitioners; attendance at national academies or conferences; and opportunities to become coaches, facilitators, or trainers themselves. Their learning should not however be haphazard or fragmented. Rather the curriculum should be: carefully designed with attention to prior learning; coordinated and aligned across all learning providers and activities; provide core skills and knowledge that will enhance leadership, but also knowledge and skills related to the specific administrative procedures, contractual requirements, and community characteristics of the environment in which they are working.

c. Networks of learning

During recent years an increasing emphasis has been placed on learning networks and networked learning communities. One variation on this approach (Fink & Resnick, 2001) has been based on the concept of nested learning communities. In 'nested learning communities' the school is viewed as a learning organization that, under its prin-

cipal's leadership, is continually improving its capacity to teach children. The principal must lead by creating a culture of learning, and by providing the right kinds of specialized professional development opportunities for all members of the school community. Another variation has been based on the concept of "communities of practice" involving activities such as intervisitations and buddying. Some interesting initiatives have focussed on the provision of opportunities for incumbent principals to expand their own professional experiences and interests at the same time as providing opportunities for the professional learning of others (Zelner & Erlandson, 1997) by offering their schools as "learning laboratories' in which learning takes place by all members of the learning community.

Implications for policy and practice

The continuing professional renewal of experienced principals is an important part of what is essentially a process of lifelong learning. At the same time as programs of professional development should be made available to principals seeking to enhance their own professional growth and development, principals themselves can play an important part in the professional advancement of aspiring principals and others who have been newly appointed to the position of principal, and indeed to other positions of leadership in schools and educational institutions more generally.

There is a professional obligation about this kind of mutuality. Those coming to take principal and leadership positions for the first time are looking for informed and supportive sources of help and advice from those who have acquired rich funds of experience, practical wisdom, and professional intelligence during their own exercise of the principalship, and who are willing to offer these as resources to their successors. For their part, experienced principals know they can benefit enormously from the rich resources of new ideas, thinking and adventurousness which new appointees to principal positions can bring with them. Such exchanges benefit both parties immeasurably. They furnish principals and school leaders

with that firm foundation on which future developments in the nature, roles, responsibilities, and values of school leaders may be more soundly and securely based and hence lay a strong, professional base for the recruitment, retention, and development of principals into the future.

Sources

Foley (2001); Fink & Resnick (2001); Goddard (1998); Hertling (2001); UK National College for School Leadership – Leadership Program for Serving Headteachers (2003); Peterson (2002); Tracy & Weaver (2000); Yee (1997); Zelner & Erlandson (1997)

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